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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/828,475

04/21/2004

Yoshihisa Dotta

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23117

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08/10/2007

NIXON & VANDERHYE, PC
901 NORTH GLEBE ROAD, 11TH FLOOR
ARLINGTON, VA 22203

EXAMINER

NADAV, ORI

ART UNIT

PAPER NUMBER

2811

MAIL DATE

DELIVERY MODE

08/10/2007

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	10/828,475	DOTTA ET AL.	
	Examiner	Art Unit	
	Ori Nadav	2811	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 21 May 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1,2,4-9 and 17-28 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1,2,4-9 and 17-28 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

In view of the appeal brief filed on 8/6/2007, PROSECUTION IS HEREBY REOPENED. A new rejection is set forth below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,

(2) request reinstatement of the appeal.

If reinstatement of the appeal is requested, such request must be accompanied by a supplemental appeal brief, but no new amendments, affidavits (37 CFR 1.130, 1.131 or 1.132) or other evidence are permitted. See 37 CFR 1.193(b)(2).

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Claims 1-2, 4-9 and 17-28 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention. There is no support in the

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specification as filed, for the claimed limitation of a hole in the semiconductor substrate being formed entirely in the aperture section of the field oxide film, as recited in claims 1, 18, 19 and 28.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claim 28 is rejected under 35 U.S.C. 102(e) as being anticipated by Hayakawa (6,450,621).

Hayakawa teaches in figures 13B and 13A and related text a semiconductor apparatus, comprising:

a semiconductor substrate 1;

a field oxide film 15 formed over a surface of the semiconductor substrate, the field oxide film having an aperture section;

a pad electrode 21 (see figure 12) over the field oxide film so as to overlap the field oxide film when perpendicularly viewing the semiconductor substrate, and

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a penetration electrode 51 electrically connected to the pad electrode 32, the penetrating electrode being provided so as to pass through each of the aperture section of the field oxide film, and a hole formed in the semiconductor substrate, and the hole in the semiconductor substrate being formed entirely in the aperture section of the field oxide film, when perpendicularly viewing the semiconductor substrate, so that an opening of the hole is smaller than the aperture section.

Claim 1-2, 4-9, 17-26 and 28 are rejected under 35 U.S.C. 102(e) as being anticipated by Mashino et al. (6,699,787).

Mashino et al. teach in figure 10 and related text a semiconductor apparatus, comprising:

a semiconductor substrate 201;

a field oxide film 204 formed over a surface of the semiconductor substrate, the field oxide film having an aperture section;

a pad electrode 211, having an aperture section formed there-through, the pad electrode being formed over the field oxide film so as to overlap the field oxide film when perpendicularly viewing the semiconductor substrate, and

a penetration electrode 217 electrically connected to the pad electrode 211, the penetrating electrode being provided so as to pass through each of (a) the aperture section of the field oxide film, (b) a hole formed in the semiconductor substrate, and (c) the aperture section of the pad electrode,

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the hole in the semiconductor substrate being formed entirely in the aperture section of the field oxide film, when perpendicularly viewing the semiconductor substrate, so that an opening of the hole is smaller than the aperture section of the field oxide film,

wherein the penetration electrode is formed in a field area of the surface of the semiconductor substrate,

wherein the aperture section of the field oxide film is formed in the aperture section of the pad electrode, when perpendicularly viewing the semiconductor substrate,

wherein the penetration electrode includes a hole-filling section formed in the hole,

wherein the hole-filling section is made of an electrically conductive material,

wherein a pad electrode, formed so that there is no overlap with the hole when perpendicularly viewing the semiconductor substrate.

Regarding claims 5-6, Mashino et al. teach in figure 10 and related text an insulating film 209 is formed on an internal surface of the hole, between the internal surface of the hole and a sidewall of the penetration electrode,

Regarding claims 6, 8 and 22-23, Mashino et al. teach in figure 10 and related text a penetration electrode includes an electrically conductive film 16 on the insulating film that is formed on the internal surface of the hole,

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wherein the hole-filling section is made of an insulating material and of an electrically conductive material,

wherein the insulating film is in direct contact with the field oxide film,

wherein the pad electrode is formed directly on and contacting the field oxide film.

Regarding claim 21, Mashino et al. teach in figure 10 and related text the aperture section in the pad electrode is larger than the aperture section in the field oxide film, when perpendicularly viewing the semiconductor substrate, because the aperture section in the pad electrode can be arbitrarily chosen to be larger than the aperture section in the field oxide film.

Regarding claims 24-26, Mashino et al. teach in figure 10 and related text a penetration electrode extends through the aperture section of the pad electrode is located at elevations both above and below the pad electrode.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claim 27 is rejected under 35 U.S.C. 103(a) as being unpatentable over Mashino et al.

Regarding claim 27, Mashino et al. teach substantially the entire claimed structure, as applied to claim 1 above, except explicitly stating that the aperture section of the pad electrode is a hole formed through the pad electrode, such that the aperture section is surrounded by the pad electrode when perpendicularly viewing the semiconductor substrate.

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to form the aperture section of the pad electrode as a hole formed through the pad electrode, such that the aperture section is surrounded by the pad electrode when perpendicularly viewing the semiconductor substrate., in Mashino et al.'s device in order to simplify the processing steps of making the device by forming the aperture section as a hole through the pad electrode.

Response to Arguments

Applicant's arguments with respect to claims 1-2, 4-9 and 17-28 have been considered but are moot in view of the new ground(s) of rejection.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Ori Nadav whose telephone number is 571-272-1660. The examiner can normally be reached between the hours of 7 AM to 4 PM (Eastern Standard Time) Monday through Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Lynne Gurley can be reached on 571-272-4670. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



O.N.
8/7/07

ORI NADAV
PRIMARY EXAMINER
TECHNOLOGY CENTER 2800